State Library of North Carolina - Library Services and Technology Act

EZ LSTA PLANNING GRANT
2009-2010

PROGRAM-SPECIFIC INFORMATION & GUIDELINES

1. What is this grant program and its purpose?

The LSTA Planning Grant program supports libraries seeking to engage in effective planning. The planning activities and outcomes must be consistent with the library's mission and strategic goals. **Planning should have its primary focus on the needs of library users rather than on the library itself.** Federal law prohibits the use of LSTA funds to support construction or renovation projects.

Types of planning supported by this program include:

- general and community-based planning for programs and services for library users, including community needs assessments and building collaborative partnerships between libraries and with other entities
- planning for the use of existing space in conjunction with providing or expanding services to library users
- analysis of processes or workflows for improvement of services to library users
- developing a comprehensive technology plan
- planning for a new or upgraded integrated automated library system, including development of an RFP
- assessing archival and special collections and creating plans for digitizing them
- other planning necessary to prepare an application for a specific LSTA Project Grant (Library Outreach Services, NC ECHO Digitization, or Technology), for example:
  - Assessing community needs in preparation for launching a new service or program using an LSTA Library Outreach Services Grant;
  - Content selection and workflow planning in preparation for an LSTA NC ECHO Digitization Grant;
  - Activities intended to develop collaborative relationships among libraries as well as between libraries and other organizations in the community in preparation for an LSTA Project Grant;
  - Preparing for a multiyear project, which requires careful consideration of issues that are likely to affect a longer term project—especially if partnering with other libraries or institutions.

Other types of planning may be appropriate for this grant program. Please contact the State Library for additional information.

Applicants whose planning may involve building or facility issues MUST read Appendix A.

These grants are supported by Library Services and Technology Act funds awarded to the State Library of North Carolina by the federal Institute of Museum and Library Services.

2. Who may apply?

The following libraries are eligible to apply for these grants:
- public libraries that qualify for grants from the Aid to Public Libraries Fund;
- community college libraries;
- libraries serving the constituent institutions of the University of North Carolina (which includes libraries serving the Area Health Education Centers);

- libraries serving the member institutions of North Carolina Independent Colleges and Universities;
- public schools with a qualified school library media center;
- library/media center administrative units of public school districts [A public school district is a local school administrative unit as defined in Chapter 115C of the North Carolina General Statutes.];
- qualified special libraries;
- qualified state agency libraries; and
- the State Library of North Carolina.

For definitions of qualifying public school library media centers, state agency libraries and special libraries, refer to **Appendix B.**

IMPORTANT NOTE: Libraries that apply for an LSTA Planning Grant in order to prepare an application for a specific LSTA Project Grant must be eligible to apply for the grant program for which they will plan. Read the 2009-2010 program-specific information and guidelines at <http://statelibrary.dcr.state.nc.us/lsta/2009-2010Grants.htm> for pertinent grant programs to determine which libraries and organizations are eligible.

An eligible library or organization may submit only one application for an LSTA Planning Grant in each grant round. A "library" is the eligible public library system or an administratively separate library in an academic institution. [i.e., *A public library system is inclusive of all outlets making up that system (e.g. Nantahala Regional Library). An institution is the parent institution of the library (e.g. UNC-Greensboro). Administratively separate libraries in an academic institution are those libraries with separate administrative and reporting structures within the institution (e.g., the University Library, the Health Sciences Library, and the Law Library at UNC-Chapel Hill)*].

Collaborative projects involving more than one library system are allowable; however, one of the partner libraries must be the lead library, responsible for accepting and administering the grant funds.

3. How may grant funds be used?

Applicants are expected to request funding for consulting assistance as the primary expenditure in an LSTA Planning Grant proposal, but some other expenses may be necessary to carry out the planning effectively.

Allowable expenditures
- fees for the services of a qualified consultant(s) to help carry out planning activities;
- cost of temporary staff that may be required to assist in the administration of a needs assessment or other information-gathering activities;
- supplies and postage;
- meeting costs for planning participants, including the cost of substitutes for public school library media coordinator or other school personnel participating in any planning effort; and
- travel / mileage expenses for planning participants.

Unallowable expenditures
- architectural plans for existing or new buildings;
- construction or pre-construction planning;
- collection development activities;
- retrospective conversion of catalog records;
- conventional arrangement, description, and cataloging of materials;
- preservation activities or materials (reformatting of media, preservation enclosures, etc.);
- entertainment or social events;
- lobbying or advocating for funding from local, state, or federal lawmakers; and
- overhead or administrative costs.

Any procurements (including the use of RFPs) involving these grant funds must follow all applicable local, state, and federal rules.

4. What are the requirements for choosing a consultant?

Applicants are expected to request funding for consulting assistance as the primary expenditure in an LSTA Planning Grant proposal. Consulting services must be provided by a consultant or consulting firm qualified to carry out the proposed activities. The consultant must be chosen before the application is submitted, and the applicant's choice is subject to State Library approval.

The applicant library must provide information demonstrating that the consultant(s) assisting in the planning process are qualified to provide appropriate consulting assistance. This information will include the following (as requested in #2b of the Application):

- Name and address of the consulting firm.
- Name and title of each individual in the consulting firm who will carry out the project and the minimum number of hours each will dedicate to the project, and the number of onsite visits that the consulting firm will make.
- Description of the consultant's previous experience and why it makes the person the appropriate choice to assist with your project.
- Information from the proposed consultant that delineates how the costs for services will be calculated, including but not limited to projected hours/days to be worked, fees, travel expenses, and other project related expenditures.
- Vita or resume of each individual in the consulting firm who will be involved in the project. Include a list of any published articles on planning.
- A list of organizations, with contact names, addresses, and telephone numbers, for which the consultant has performed similar planning activities during the past five years. The list must identify two projects comparable in size to the proposed project.

The State Library has assembled a Consultant List to assist libraries in finding a consultant. The list is available at <http://statelibrary.dcr.state.nc.us/lsta/consultants.htm>. While the consultants on this list have performed work for libraries in North Carolina, this does not in itself constitute an endorsement of the consultant. Applicants should seek references from previous clients before choosing a consultant.

Grant applicants are encouraged to undertake the consultant selection process as early as possible. Consultant schedules sometimes fill up months in advance. If you have a place on a consultant's schedule you will be in a better position to begin your project promptly. However, **no contract can be signed with a selected consultant until grant agreements are signed by both the library's representatives and the State Librarian.**

5. What amount of funds may be requested?

The maximum amount that may be requested is $20,000 for a single library system, and $35,000 for a collaborative project of multiple library systems. Any costs above the maximum award are the responsibility of the local library(ies).

6. Are local matching funds required?

No local matching funds are required for an LSTA Planning Grant.

7. What is the basis for selecting projects for funding?
The following factors and criteria will be used to determine priority for funding among the eligible applications.

I. Need
Priority will be given to planning activities that support the needs of the library's users. Applicants proposing to plan for an LSTA Project Grant must also demonstrate that they understand both the particular Project Grant program for which they wish to apply and the issues they must resolve before they are ready to submit an application for a Project Grant.

In addition to the clarity of the need, reviewers will be evaluating the level or extent of need in establishing priorities for funding.

II. Appropriateness of Proposed Planning Activities
The appropriateness of the proposed planning activities will be a key factor in determining the LSTA Planning Grant recipients. Reviewers will assess factors such as:
- how the proposed planning will benefit the library's users;
- conformity between the library's mission and proposed planning activities;
- proposed methodology and its suitability;
- consultant role, qualifications, and/or criteria for selection; and
- involvement of suitable partners.

III. Readiness
Evaluation of a library's readiness to carry out a planning process will be multifaceted, considering a series of questions:
- For applicants proposing to plan for an LSTA Project Grant, do the proposed activities reflect an understanding of the grant program's requirements?
- Has the library identified all issues that should be addressed in the planning process?
- Has the applicant articulated what result they want from the planning effort? How will they evaluate the success of the planning effort?
- Is the library willing to devote adequate time for staff and appropriate members of the community (trustees, community leaders, local government officials, etc.) to participate in the planning activities, including providing any consultants with background information?
- If the process is a collaborative one, are the partners identified and willing to be fully involved in the planning process?

See Section #1 of *General Information & Provisions* document for 2009-2010 LSTA grants (<http://statelibrary.dcr.state.nc.us/lsta/GenInfoProvs09-10.pdf>) for additional factors and issues that may be taken into account in the review of all grant proposals and selection of applications for funding.

8. What else do applicants need to know?

General Information & Provisions for LSTA Grants
Further information and requirements for 2009-2010 LSTA grants is provided in the *General Information & Provisions* document at http://statelibrary.dcr.state.nc.us/lsta/GenInfoProvs09-10.pdf . There you will find essential information such as: additional factors that may be taken into account in the review of all grant proposals and selection of applications for funding; timelines; submission instructions; grant payment procedures; and legal requirements. Applicants must be familiar with this information.

Procurement
Grant Provisions for this program (included in the document cited immediately above) include the federal regulation requiring grantees to conduct all procurement transactions in a manner providing full and open competition consistent with the standards of 45 CFR 1183.36. Local and state provisions may be more stringent. State requirements are available upon request.

9. For further information:

Questions about the LSTA Planning Grants should be directed to Penny Hornsby, Federal Programs Consultant, Library Development Section, State Library of North Carolina, at penny.hornsby@ncdcr.gov or 919-807-7420.

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APPENDIX A

PLANNING THAT MAY LEAD TO BUILDING RENOVATION OR CONSTRUCTION

Federal law prohibits the use of LSTA funds for building renovation or construction. This includes:
- the use of architects to plan space utilization or to produce facility plans;
- developing plans or diagrams for electrical or network wiring; and
- any other activity that may be directly linked to building renovation or construction.

The State Library acknowledges that planning activities may naturally lead to recommendations for the renovation of a building or the construction of a new facility to provide better service to a library's users. These restrictions on the use of LSTA funds are not a judgment that such activities are inappropriate in themselves. Nevertheless, applicants for Planning Grants must be aware of these restrictions and must prepare and carry out their planning activities in a manner that does not violate federal law.

At times the language applicants use to describe their planning activities and the products of these activities may create the impression that unallowable renovation and construction activities are involved, even though that is not the case. Applicants should be very careful in their use of terminology to avoid creating inaccurate impressions. Clear distinctions should be made between activities paid for with Planning Grant funds and activities that will take place after the grant ends and that will be paid for with non-federal funds.

It may be difficult for applicants to determine whether certain specific planning activities are a permissible use of LSTA funds. Therefore we strongly encourage libraries to contact State Library staff for guidance when preparing Planning Grant applications.

APPENDIX B

DEFINITIONS OF QUALIFYING LIBRARIES

These definitions are from North Carolina's *Library Services and Technology Act Five-Year Plan 2008-2012* (http://statelibrary.dcr.state.nc.us/lsta/plan2008-12.pdf).

Public School Libraries: Libraries/media centers in elementary or secondary (middle/junior and/or senior high) schools recognized as public schools by North Carolina's Department of Public Instruction and accredited by the Southern Association of Colleges and Schools. This definition includes libraries in state approved charter schools. For schools that have chosen not to seek accreditation by the Southern Association of Colleges and Schools, the school library media center must meet or exceed accreditation standards.

State Agency Libraries: Libraries that are part of a state government agency, including libraries that serve staff and residents of rehabilitative and correctional institutions.

Special Libraries: Libraries operated by professional, scientific, or trade associations, governments, hospitals, or other organizations, agencies, or institutions primarily to serve their own specialized clientele. To qualify a special library must be willing to share resources either through public access on site or through interlibrary loan within the state.

A library meeting one of the above definitions must first meet these broad policy guidelines for eligibility to apply for LSTA funds.
- Every library or organization defined as eligible to apply for LSTA funds must be either publicly funded (receive at least 51% of its operating funds from tax dollars) or not-for-profit (recognized as tax-exempt by the Internal Revenue Service).
- An eligible school library must be headed by a full-time certified school media coordinator. Other eligible libraries must be headed by a trained library professional with a masters degree in library and information science from a graduate library education program accredited by the American Library Association or by a regional accrediting organization.
- Every eligible library must have a cataloged collection of information resources, designated space, a materials budget, and be open a minimum of 20 hours per week.
- For collaborative projects one partner must be designated as the "lead" library to accept and administer the grant. The lead library in a collaborative project must meet all eligibility requirements.

State Library of North Carolina - Library Services and Technology Act

EZ LSTA PLANNING GRANT
2009-2010
Application

DUE DATE: Original and 15 copies must be received by 5:00 p.m. February 19, 2009, in the Library Development Section Office, Room 310A.

INSTITUTION / LIBRARY:

MAILING ADDRESS:

U.S. CONGRESSIONAL DISTRICT (in which library is located)**:**

PROJECT MANAGER, NAME / TITLE:

PHONE: _____ **FAX:** _____ **E-MAIL:** _____

GRANT AMOUNT REQUESTED (whole dollars only):   **$** _____
(maximum $20,000 for single library system; $35,000 for multi-system collaboration)

PLANNING FOR: __ General / long-range   __ Library Outreach Services Grant
                       __ Specific services / programs   __ NC ECHO Digitization Grant
                       __ Technology plan   __ Technology Grant

ABSTRACT: Provide a brief abstract of your project in the space below. See instructions on the following page.

CERTIFICATION AND SIGNATURES
We are aware of, and agree to comply with, all state and federal provisions and assurances required under this grant program. If awarded grant funds, we assure that we will carry out the grant project according to the approved grant proposal. This application has been authorized by the appropriate authorities of the applying institution/library.

Printed name of library director or media coordinator	Printed name & title of local government or institutional authorizing official
Signature, library director or media coordinator	Signature, above official
Date	Date SLNC 12/08

ABSTRACT INSTRUCTIONS
The abstract should ***clearly and concisely*** summarize your project. The abstract must not exceed the space available on the signature page (page 1). The abstract should only include information that is in the body of the proposal.

INSTRUCTIONS FOR PREPARING AND COLLATING YOUR APPLICATION
Refer to Section #9 in the *General Information & Provisions* for LSTA Grants 2009-2010 at
<http://statelibrary.dcr.state.nc.us/lsta/GenInfoProvs09-10.pdf>.

It is critical that you review all grant program information and guidelines before completing this application. See:
- *Program-Specific Information & Guidelines* for LSTA Planning Grant 2009-2010 (within this document, preceding this application form; also at <http://statelibrary.dcr.state.nc.us/lsta/PlngGLApp09-10.pdf>), and
- *General Information & Provisions* for 2009-2010 LSTA grants at <http://statelibrary.dcr.state.nc.us/lsta/GenInfoProvs09-10.pdf>.

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1. PROJECT DESCRIPTION
Use a separate sheet to outline a simple narrative response to the following questions about your proposed planning effort. Keep in mind the planning grant criteria as you respond.

a. **Describe the planning activities** that you wish to carry out, i.e., tell us what you want to do. Include the expected results, product(s), and outcomes of your planning activities.

b. **Provide background information** on how the need for this project was determined, and describe how it will benefit the library's users. Explain why the proposed planning activities are appropriate, and include a description of any recent planning activities that are related to the project you are proposing. Include relevant planning activities carried out by the institution or local government of which the library is a part. **If you are planning to apply for an LSTA Project Grant**, be sure to describe why your library wishes to apply for that grant program, how your library's users will benefit from it, and how your proposed Project Grant application fits into your library's mission and strategic plans.

c. **Establish a timeline** listing the sequence of project activities with the expected completion dates. The timeline should be prepared in consultation with the consultant and any partner(s). Remember to accommodate the local institutional approval process and the grant program deadlines.

d. **Describe how the library proposes to provide adequate time for staff to participate** in the planning process and to assist the consultant with background information.

e. **Describe how the library proposes to involve others in the community** in your planning efforts (e.g., library users, trustees, community residents, community leaders, local government officials, institution staff and administration, local IT/MIS staff).

f. **If this project involves more than one library**, describe:
  - the libraries that will be involved;
  - the rationale for a group effort; and
  - the roles and responsibilities of all parties during the planning grant.

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g. **Describe how the library will evaluate the success of this planning effort.**

2. PROJECT CONSULTANT AND OTHER PERSONNEL

a. Describe the role and key responsibilities of the consultant or consulting firm you plan to hire.

b. Provide the following information about the consultant(s) you have chosen:
   - Name and address of the consulting firm.
   - Name and title of each individual in the consulting firm who will carry out the project, the minimum number of hours each will dedicate to the project, and the number of onsite visits that the consulting firm will make.
   - Describe the consultant's previous experience and why it makes the person the appropriate choice to assist you with your project.
   - Attach a document from the proposed consultant that delineates how the costs for services will be calculated, including but not limited to projected hours/days of work, fees, travel expenses, and other project related expenditures.
   - Vita or resume of each individual in the consulting firm who will be involved in the project. Include a list of any published articles on planning.
   - A list of organizations, with contact names, addresses, and telephone numbers, for which the consultant has performed similar planning activities during the past five years. The list must identify two projects comparable in size to the proposed project.

c. Describe the role and responsibility of any other personnel that you propose to hire to assist with the project planning, and the qualifications that you will seek.

3. BUDGET WITH ESTIMATED PROJECT EXPENDITURES

a. **BUDGET TABLE**

Complete the budget table on the following page to provide the estimated costs required to carry out the project.

b. **BUDGET NARRATIVE**

Provide a clear explanation of each expenditure included in your budget—its purpose, how you arrived at the amount, and any other information that will help reviewers understand how you will be spending money in support of the project's objectives and action plans.

Include a document from the proposed consultant that delineates how the costs for services will be calculated (as required in 2b above).

If applicable, identify and explain any additional expenses that the library will incur and pay with local funds.

3.a. BUDGET TABLE

EXPENDITURE CATEGORY	LSTA	LOCAL (if any)	TOTAL
A. Consulting Fees	$ _____	$ _____	$ _____
	_____	_____	_____
Subtotal	_____ +	_____ =	_____
B. Temporary Staff Wages and Benefits	$ _____	$ _____	$ _____
Subtotal	_____ +	_____ =	_____
C. Supplies	$ _____	$ _____	$ _____
Subtotal	_____ +	_____ =	_____
D. Postage	$ _____	$ _____	$ _____
Subtotal	_____ +	_____ =	_____
E. Printing	$ _____	$ _____	$ _____
Subtotal	_____ +	_____ =	_____
F. Travel Costs	$ _____	$ _____	$ _____
Subtotal	_____ +	_____ =	_____
G. Other Expenditures (specify)	$ _____	$ _____	$ _____
Subtotal	_____ +	_____ =	_____
H. TOTAL A through G	**$** _____ +	_____ =	_____

4. CIPA CERTIFICATION AND COMPLIANCE

Every public library and public elementary and secondary school library that submits an application for funding to the State Library must include one original of the Internet Safety Certification document <http://statelibrary.dcr.state.nc.us/lsta/SafetyCert2009.pdf> as part of its application package. However, most libraries will not be subject to CIPA compliance as a result of receiving LSTA funds.

Those interested in compliance information should read the LSTA CIPA Compliance Information document at <http://statelibrary.dcr.state.nc.us/lsta/compliance09.pdf>.

If you have questions regarding CIPA certification and compliance, please contact Grant Pair at <grant.pair@ncdcr.gov> or 919-807-7408.

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APPLICATION CHECKLIST: A complete application package will include:

_____ Application signature page signed by appropriate persons.
_____ Complete proposal that responds to every required section of the application.
_____ Complete budget table, with figures that add up correctly.
_____ Budget narrative.
_____ **1 original application** with certifying signatures **in blue ink**, **plus 15 copies** (16 total).
_____ **1 original** of the required **CIPA** certification form (if applicable).

SUBMISSION & FORMAT INSTRUCTIONS
Make sure that your application is prepared according to the recommended format. Refer to instructions in Section #9 of *General Information & Provisions* for LSTA Grants 2009-2010 at <http://statelibrary.dcr.state.nc.us/lsta/GenInfoProvs09-10.pdf>.

DELIVERY INFORMATION

DUE DATE: The complete application package must be received by 5:00 p.m. February 19, 2009, in the Library Development Section Office, Room 310A.

Delivery by commercial service (e.g. FedEx, UPS), or hand delivery: RECOMMENDED	Delivery by US Postal Service:
LSTA Grant Applications Library Development Section, Room 310A State Library of North Carolina Archives & State Library Building 109 E. Jones Street Raleigh NC 27601	LSTA Grant Applications Library Development Section State Library of North Carolina 4640 Mail Service Center Raleigh NC 27699-4640

Warning: To be considered, applications must be received in the Library Development Office by the 5:00 p.m. February 19, 2009, deadline.
To assure on-time receipt by the State Library, applicants are strongly encouraged to use a commercial service and the Jones Street address. Packages sent via US Postal Service and Mail Service Center address (even Express Mail) frequently encounter delivery delays, and the US Postal Service does **not** deliver to the Jones Street address. Any application not received by the deadline will not be eligible for consideration.